

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 8594-003-64 DIV

First Inventor or Application Identifier Anthony BEVERINA

Title METHOD AND APPARATUS FOR RISK MANAGEMENT

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
☒ Applicant claims small entity status.
2. ☒ Specification Total Pages **76**
3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **53**
4. ☒ Oath or Declaration Total Pages **3**
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with box 16 completed)
5. ☒ Incorporation By Reference (usable if box 4B is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

ACCOMPANYING DOCUMENTS

6. ☐ Assignment Papers (cover sheet & document(s))
7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
8. ☐ English Translation Document (if applicable)
9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
10. ☒ Preliminary Amendment
11. ☒ White Advance Serial No. Postcard
12. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
13. ☐ Request for Priority
14. ☐ List of Inventors' Names and Addresses
15. ☒ Other: Letter to Official Draftsman
Formal Drawings (53 Sheets)

10/14/01
09/853691
PTO

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 09/453,509
Prior application information: Examiner: S. BRODA Group Art Unit: 2123

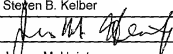
17. Amend the specification by inserting before the first line the sentence:

☒ This application is a ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP)
of application Serial No. 09/453,509 Filed on December 3, 1999

☐ This application claims priority of provisional application Serial No. Filed

18. CORRESPONDENCE ADDRESS

Supervisor, Patent Prosecution Services
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| | | | |
|-----------|--|------------------|--------------|
| Name | Steven B. Kelber | Registration No. | 30,073 |
| Signature |  | Date | 5/14/01 |
| Name | James M. Heintz | Telephone | 202-861-3900 |
| | | Registration No. | 41,828 |

FEE TRANSMITTAL

Docket No. 8594-003-64 DIV
 Serial No. New Application
 Filing Date Herewith
 Inventor(s) Anthony BEVERINA, et al.
 Group Art Unit
 Examiner

TOTAL AMOUNT OF PAYMENT \$355.00

1. ☒ Applicant claims small entity status.

☐ Charge any UNDERPAYMENT or credit any OVERPAYMENT in the indicated fees to Deposit Account No. 50-1442.

☐ Charge the indicated fees to Deposit Account No. 50-1442.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | |
|--------------|----------|--------------|----------|-----------------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | Fee Paid |
| 105 | 135 | 205 | 65 | Surcharge-late filing fee or oath | |

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | Fee Paid |
| 107 | 710 | 201 | 355 | Utility filing fee | 355.00 |
| 108 | 320 | 206 | 160 | Design filing fee | |
| 107 | 690 | 207 | 245 | Plant filing fee | |
| 109 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 185 | 214 | 75 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | \$355.00 |

2. EXTRA CLAIM FEES

| | | | | | | | | | | | | | | | |
|-------------|---|---|-----|---|---|---|------|---|---|-----|------|-----|-----|---------------------------|--|
| tot. claims | 9 | - | 20* | = | 0 | X | \$9 | = | 0 | 121 | 270 | 221 | 135 | Request for Oral Hearing | |
| ind. claims | 1 | - | 3* | = | 0 | X | \$40 | = | 0 | 142 | 1240 | 242 | 620 | Utility/Reissue Issue Fee | |

☐ Multiple Dependent Claims \$135 = 143 440 243 220 Design Issue Fee

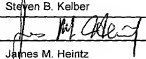
| Large Entity | | Small Entity | | Fee Description | |
|--------------|----------|--------------|----------|--|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 103 | 180 | 203 | 9 | Claims in excess of 20 | |
| 102 | 600 | 202 | 40 | Independent claims in excess of 3 | |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid | |
| 109 | 300 | 209 | 40 | *Reissue independent claims over original patent | |
| 110 | 180 | 210 | 9 | *Reissue claims in excess of 20 and over original patent | |

OTHER (indicate below)

SUBTOTAL (2) \$0.00

* or number previously paid, if greater; For Reissues, see above

SUBTOTAL (3) \$0.00

| | | | |
|-----------|---|------------------|--------------|
| Name | Steven B. Kelber | Registration No. | 30,073 |
| Signature |  | Date | 5/14/01 |
| Name | James M. Heintz | Registration No. | 41,828 |
| | | Telephone | 202-861-3900 |

DOCKET NO. 8594-003-64 DIV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Anthony BEVERINA, et al. ART UNIT:
SERIAL NO.: New Application EXAMINER:
FILING DATE: Herewith
FOR: METHOD AND APPARATUS FOR RISK MANAGEMENT

LETTER TO OFFICIAL DRAFTSMAN

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

It is requested that the enclosed **53** sheets of Formal Drawings comprising Figures **1-53** be entered to replace the Informal Drawings filed with the application.

Respectfully submitted,

PIPER MARBURY RUDNICK & WOLFE LLP

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